

RFP DOC-52-PAPT-07-01001
Attachment 3

QUALITY ASSURANCE SURVEILLANCE PLAN

for

**INFORMATION RESOURCES
AND
INSTRUCTIONAL SERVICES
(IRIS)**

Date: Dec 07, 2006

1) Purpose

This Quality Assurance Surveillance Plan (QASP) provides a standard of surveillance for monitoring the Information Resources and Instructional Services (IRIS) contract and provides the approach the Government will use to conduct surveillance over the performance aspects of the effort. The QASP is used by government Quality Assurance (QA) personnel to insure the standards of the contract are being met. The QAs consist of the Contracting Officer's Technical Representative (COTR) and Government Monitors (GM) who monitor tasks issued under this requirement.

This plan uses efficiency and quality metrics to evaluate the services the Contractor is required to furnish. This surveillance assures the Government that the Contractor's performance is acceptable.

Any noncompliance with contract performance requirements is deemed "sub par". The term "sub par" refers to required services that do not meet the specified standard of performance. The QASP is based on the premise that the Contractor, not the Government, is responsible for management and quality control actions to meet the terms of the contract.

The methods of surveillance recognize that unforeseen and uncontrollable problems and issues do occur. QAs are expected to be objective, fair, and consistent in evaluating Contractor performance against the standards.

Effective management and use of a contractor generated quality control plan will allow the Contractor to operate within the specified surveillance requirements.

2) Surveillance

The QA's will inspect task performance by:

- watching actual performance
- checking an attribute of the completed tasks
- checking applicable reports
- inspecting the task or its results to determine whether or not the performance meets the performance standards.

In all cases, surveillance shall not be so intrusive as to impact the Contractor's successful accomplishment of the mission.

Surveillance observations/inspections made by QA's will be recorded in order to document the Contractor's performance. This documentation becomes an official Government record of the Contractor's performance.

When surveillance detects unacceptable service, the contractor shall be notified. If the service can be re-performed, the QA will request the Contractor to attempt the service or task again. If the service cannot be or is not successfully re-performed, the deficiency will be consider sub-par performance. Regardless of whether the task can or cannot be re-performed, the results will be documented.

Customer complaints – The QA may receive customer complaints about the quality of services. The

QA will make a determination if the customer complaint concerns services provided by the Contractor and if so, will make a determination if the complaint is a minor or a major complaint. The QA will notify the Contractor of the nature and severity of the complaint.

- Minor complaints – isolated incidents of minor complaints will be addressed by the QA at the task order level. The on-site contract representative or contract manager will be notified of the complaint and the contractor will work with the QA to ensure the complaint is addressed or resolved.
- Minor complaints will be documented if the QA determines that a pattern of minor complaints has developed, or that there is an alarming increase in frequency of minor complaints. In that case, the severity level of the complaints would be designated as a major complaint.
- Major complaints – these complaints will be documented and the QA will notify the COTR. The COTR will make a determination on the validity of the complaint(s) against the Contractor and will notify the Contractor of that determination. The Contractor will be required to address or resolve complaints determined to be valid. Unresolved major complaints will be deemed subpar performance and will be forwarded to the Contracting Officer.

3) Inspections

3.1) Periodic inspections may occur on a pre-determined basis (e.g. daily, weekly, monthly) as determined by the QA. The results of periodic inspections may be used as the basis for sub par report documentation.

3.2) Random inspections may occur at any time and location.

4) Customer Feedback

Due to the production goals set at the USPTO and the resulting need to minimize disruption of examiner's time, questionnaires (even voluntary questionnaires) are rarely distributed as a mechanism to obtain customer feedback. The major exception is that course evaluation feedback forms are provided at the end of formal training sessions and students are expected to complete and submit those forms. Otherwise, most feedback from our major group of customers, patent and trademark examiners, is ad hoc in nature.

Results of any course evaluation feedback forms will be used as part of the surveillance plan for training services and data from these forms will be documented as part of the QA surveillance records.

5) Unacceptable performance

When performance is deemed unacceptable, the QA will so inform the Contractor's on-site representative, or one of the Contractor managers. Disputes should be referred to the COTR.

The COTR will notify the Contracting Office (CO) of subpar performance. If any services do not conform to contract requirements, the Government may require the Contractor to re-perform the services to conform with contract requirements at no increased cost to the government. When sub-par performance cannot be corrected by re-performance, the Government may:

- Require the contractor to take action necessary to ensure future performance conforms with contract requirements.
- By separate contract or otherwise, perform the services and charge to the Contractor any cost incurred by the Government that is directly related to the performance of such service or:
 - Issue Cure Notice
 - Issue Show Cause
 - Terminate the contract for government convenience
 - Terminate the contract for cause.

Surveillance Guide

The QASP Surveillance Guide consists of:

- QASP Attachment A – Search Quality Evaluation Forms
- QASP Attachment B – Performance Requirement Matrices

QASP Attachment A

SEARCH QUALITY EVALUATION FORMS

- USPTO New Searcher Evaluation (primarily used to evaluate EIC searchers)
- USPTO Searcher Evaluation Form (primarily used to evaluate EIC searchers)
- Trademark Law Library New Searcher Evaluation
- Trademark Law library Searcher Evaluation Form

USPTO New Searcher Evaluation					Form Date 11/14/06
SEARCHER:			DATE:		
TEAM LEADER:			CIRCLE ONE: 1-month 3-month 6-month 12-month 18-month		
SCORES: 3-HAS MASTERED 2-SHOWS IMPROVEMENT 1- NEEDS REMEDIATION Scores of 1 or 2 require explanation in the Comments column.					
SEARCH PREPARATION		3	2	1	COMMENTS
1. Analytical/Conceptual Ability - Extracting primary & secondary concepts from the claim language or request, including possible novel aspects of the invention.					
2. Synthetical Ability - Created a strategy appropriate in scope to that of the claims or request.					
3. Knowledge/Use of Reference Resources - understanding the topic and subject matter, looking up unknown technical terms and the authors' work if needed.					
SEARCH EXECUTION		3	2	1	COMMENTS
4. Familiarity with Vendors & Database Content - Judicious file selection, appropriate grouping of bibliographic & full text files.					
5. Term Expansion/Use of Controlled Vocabulary - Technical thesauri, related terms, synonyms, abbreviations, section codes, alternate & British spellings.					
6. Knowledge/Use of Search Techniques Appropriate to a given vendor and database, Boolean and proximity operators, truncation, etc.)					
7. Manipulate Sets to Obtain Useful, Non-Duplicative Results - Initial sets combined with successive sets to focus search, preferably printing out the most pertinent art first.					
8. Modify/Refocus/Restructure Original Strategy to Increase Relevance of Retrieval - Adding/deleting concepts as necessary to broaden or narrow search in an iterative manner.					
9. Review/Evaluate Retrieved Results for Relevance - Additional pertinent concepts or vocabulary terms, acronyms.					
SEARCH COMPLETION		3	2	1	COMMENTS
10. Search Strategies are Logically Organized and Methodically Structured It is readily apparent how concepts/sets were combined to reach final answer sets; complete search history is printed in full preceding the search strategy.					
11. Presentation & Organization - Attached coversheet w/ notes & comments to the examiner; attached search history files w/ strategy; removed all false hits.					

USPTO New Searcher Evaluation - Pg 2 (Chemical)

Form Date 11/14/06

SEARCHER:

DATE:

SCORES: 4-Has Mastered 3- Meets Expectation 2-Shows Improvement 1-Needs Remediation
Scores of 1 or 2 require explanation in the Comments column.

CHEMISTRY-SPECIFIC CRITERIA	4	3	2	1	COMMENTS
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For the following, a rating of 3 on the following criteria would be expected after 3 months

12. Component Registry Numbers

Ability to search materials—mixtures, salts, polymers, etc.—by Registry numbers)

For the following, a rating of 3 on the following criteria would be expected after 6 months

13. Class Identifiers & Registry Records

Familiarity with class identifiers and how Registry records are organized)

14. Polymer Class Terms

Knowledge of class terms, their use & how the "formed" differ from the rest.

For the following, a rating of 3 on the following criteria would be expected after 12 months

15. Structure Query/Graph Node Bond

Ability to design a structure query appropriate in scope to the request, knowledge of GNB mechanics for building a connection table.

16. Dictionary Searching

Using the Registry file to retrieve classes of compounds such as alloys, tabular inorganic substances, etc.

17. Organometallics

Ability to search organometallics as a class of compounds, understanding of underlying chemistry, pi v. sigma, etc.)

For the following, a rating of 3 on the following criteria would be expected after 18 months

18. Polymers

Ability to search polymers as a class of compounds, understanding of underlying chemistry, addition v. condensation, etc.)

USPTO Searcher Evaluation Form		Form Date: 11/14/06
SEARCHER:	SEARCH DATE:	
CASE #:	ACCESS #:	
SCORES: 3—FULLY SATISFACTORY 2—ADEQUATE 1—UNACCEPTABLE N/A— NOT APPLICABLE		
SEARCH QUALITY CRITERIA	SCORE	COMMENTS
1. Interpretation of Search Concept Extracted major concepts from claims, submitted request & examiner interview; Chem searches: determined necessity for structure search; discovered component structures; correctly represented the chemical structures.		
2. Search Preparation Gathered background info on the case & inventor(s), understood topic; prepared strategy using resources (PALM, internet, prior patents, printed publications, etc.)		
3. Formulation of Search Strategy Formulated an efficient and logical strategy appropriate in scope to that of the claims or the request as well as analogous concepts; used indexes, thesauri, classification, synonyms, acronyms, alternate spellings, etc. Chem: use of roles, RNs, class. codes, other indexing unique to CA.		
4. Search Technique Combined initial sets with successive sets to focus search e.g. the pyramid or algorithmic style; use of multiple approaches, harvesting and mining for new terminology and concepts; logically organized strategies; clear presentation of strategy and search results. Chem structure searching: use subset searches, reverse searches, searching by monomer/component RNs as required.		
5. Use of Proper Search Mechanics Effective & efficient use of Boolean logic, truncation, commands, syntax, proximity operators, nesting, display formats; reviewed for typos; removed duplicates, etc.		
6. Use of Relevant and Required Databases Judicious file selection and appropriate grouping. No multi-file searching in STN for chem searches.		
7. Presentation & Organization Attached coversheet w/notes & comments to the examiner; attached search history - files w/ strategy; removed all false hits.		
	CIRCLE	
8. Record of Examiner Interview Attached	YES / NO	
9. Author/Inventor Search Accurate author/inventor name(s) search technique used at beginning of search.	YES / NO	
10. Restriction Date Search results restricted to the appropriate date as requested by Examiner.	YES / NO	
11. Search History Attached Attached search history, and files selected, for each cluster of files used; listed all searched electronic resources.	YES / NO	
12. Image Search (Mechanical Only) Correct representation of concept via an image and appropriate selection of resources or retrieve the best art.	YES / NO	
REVIEWER:	DATE of Review:	

Trademark Law Library New Searcher Evaluation Form Date 11/22/06				
SEARCHER:		DATE:		
LIBRARY DIRECTOR:		CIRCLE ONE: 1-month 3-month 6-month		
CLIN ASSISTANT:		12-month		
SCORES: 3-HAS MASTERED 2-SHOWS IMPROVEMENT 1- NEEDS REMEDIATION <i>Scores of 1 or 2 require explanation in the Comments column.</i>				
SEARCH PREPARATION	3	2	1	COMMENTS
1. Analytical/Conceptual Ability - Extracting primary & secondary concepts from the search request.				
2. Ability to Formulate a Proper Reference Query - Created a strategy appropriate in scope to that of the request.				
3. Knowledge/Use of Reference Resources - understanding the topic and subject matter, looking up unknown technical terms, etc.				
SEARCH EXECUTION	3	2	1	COMMENTS
4. Familiarity with Vendors & Database Content - Judicious file selection, appropriate grouping of bibliographic & full text files.				
5. Term Expansion/Use of Controlled Vocabulary - Technical thesauri, related terms, synonyms, abbreviations, section codes, alternate & British spellings.				
6. Knowledge/Use of Search Techniques - Appropriate to a given vendor and database, Boolean and proximity operators, truncation, etc.)				
7. Manipulate Sets to Obtain Useful, Non-Duplicative Results - Initial sets combined with successive sets to focus the search.				
8. Modify/Refocus/Restructure Original Strategy to Increase Relevance of Retrieval - Adding/deleting concepts as necessary to broaden or narrow search in an iterative manner.				
9. Review/Evaluate Retrieved Results for Relevance - Additional pertinent concepts or vocabulary terms, acronyms.				
SEARCH COMPLETION	3	2	1	COMMENTS
10. Search Strategies are Logically Organized and Methodically Structured It is readily apparent how concepts/sets were combined to reach final answer sets; complete search history is printed in full preceding the search strategy.				
11. Presentation & Organization - Attached coversheet w/ notes & comments to the examiner; attached search history files w/ strategy; removed all false hits.				

TRADEMARK LAW LIBRARY SEARCHER EVALUATION FORM

Form Date: 11/22/06

SEARCHER:	SEARCH DATE:	
<i>SCORES: 3—FULLY SATISFACTORY 2—ADEQUATE 1—UNACCEPTABLE N/A— NOT APPLICABLE</i>		
SEARCH QUALITY CRITERIA	SCORE	COMMENTS
1. Interpretation of Search Concept Extracted major concepts from claims, submitted request, & examiner interview.		
2. Search Preparation Gathered background info, understood topic; prepared strategy using resources (commercial databases, internet, internal databases, printed publications, etc.)		
3. Formulation of Search Strategy Formulated an efficient and logical strategy appropriate in scope to that of the request as well as analogous concepts; used indexes, thesauri, classification, synonyms, acronyms, alternate spellings, etc.		
4. Search Technique Combined initial sets with successive sets to focus search e.g. the pyramid or algorithmic style; use of multiple approaches, harvesting and mining for new terminology and concepts; logically organized strategies; clear presentation of strategy and search results.		
5. Use of Proper Search Mechanics Effective & efficient use of Boolean logic, truncation, commands, syntax, proximity operators, nesting, display formats; reviewed for typos; removed duplicates, etc.		
6. Use of Relevant and Required Databases Judicious file selection and appropriate grouping.		
7. Presentation & Organization Attached coversheet w/notes & comments to the examiner. Additionally, attached search history, files w/ strategy & removal of all false hits for quality assurance review.		
	CIRCLE	
8. Record of Reference Interview Attached	YES / NO	
9. Restriction Date Search results restricted to the appropriate date as requested by requestor.	YES / NO	
10. Search History Attached Attached search history, and files selected for each cluster of files used; listed or noted all searched resources.	YES / NO	
11. Image Search Correct format for representation of concept via an image supplied to the requestor.	YES / NO	
REVIEWER:	DATE OF REVIEW:	

QASP Attachment B

Performance Requirement Matrices

- Performance Standards for Guidelines/Manuals, Reports and Other Deliverables
- Task Order 1 – Electronic Information Center Support
- Task Order 2 – Automation Training and Related Training Support
- Task Order 3 – Trademark Law Library Support
- Task Order 4 – Centralized Services Support
- Task Order 5 – Information Access and Management Support
- Task Order 6 – Contract Management, Administration and Consulting
- Task Order 7 – Supplies and Materials

Performance Requirements Matrix – IRIS – Performance Standards for Guidelines/Manuals, Reports and Other Deliverables These standards apply to guidelines/manuals, reports and other deliverables for all task orders unless otherwise stated in the task order.				
PWS Task	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method
F.1.3 Guidelines and Manuals	Quality	1) Maintain an up to date set of library procedure guidelines or manuals for functions in every task order. 2) Contractor notifies appropriate Government Monitor that major changes were incorporated in documents.	98% of procedures guidelines and manuals are correct and current.	1) Random review. 2) COTR or the Government Monitor (GM) for each task order verifies that major changes were correctly incorporated into the documents.
F.1.3 Guidelines and Manuals	Efficiency	Guidelines and manuals posted to shared drive. If shared drive access unavailable, documents are provided in electronic format by the end of the 6 th month and 12 th month of each contract year.	100% of the procedure guidelines or manuals are posted or provided on time.	Latest version of documents are always accessible in electronic format to the COTR and the appropriate GM for the task order (when they can be posted on the shared drive). Otherwise, COTR records the date of receipt.
Section F – All Reports and other Deliverables	Quality	Reports and other deliverables are correct when submitted.	Documents are complete and accurate 98% of time. Drafts, when required, are acceptable 80% of the time	COTR or Government Monitor reviews reports for completion and accuracy.
F.1.4 Task Order Status Report	Efficiency	Submitted by the 15 th calendar day of the following month.	90% of all reports are submitted on time	COTR records the date of receipt.
F.1.5 Statistical Report – Contractor Workload	Efficiency	Submitted by the 15 th calendar day of the following month.	90% of all reports are submitted on time.	COTR records the date of receipt.

Performance Requirements Matrix – IRIS – Performance Standards for Guidelines/Manuals, Reports and Other Deliverables These standards apply to guidelines/manuals, reports and other deliverables for all task orders unless otherwise stated in the task order.				
PWS Task	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method
F.1.6 Statistical Reports – Information Center Services and Functions	Efficiency	Submitted by the 10 th calendar day of the following month	100% of all reports are submitted on time.	COTR or GM records the date each report is received and reviews for completion and accuracy.
F.1.7 Other Deliverables	Efficiency	Documentation, presentations, briefings or customized reports are provided by the due date.	95% of all reports are submitted on time.	COTR or GM records the date each report is received.
*Note: Reports are not counted as late when, on a case-by-case basis, the COTR approves later report submission.				

Performance Requirements Matrix – IRIS – Task Order 1 – Electronic Information Center Support

PWS Task	Metric Type	Performance Standard	Performance Indicator	Surveillance Method																																																																								
C.4.1.9 Search Support	Efficiency	Text & structure searches standards for customized by technology. Chart below indicates the average number of hours per searcher per EIC by experience level.	95% of all searches are completed within the specified time period by searchers at the various experience levels.	Data pulled from STIC search tracking system.																																																																								
<table><tr><td></td><td>EIC1600</td><td>EIC1700</td><td>EIC2100</td><td>EIC2600</td><td>EIC2800</td><td>EIC3600 Business Methods</td><td>EIC3600 Mechanical</td><td>EIC3700</td></tr><tr><td>6 mo</td><td>12 HPS</td><td>12 HPS</td><td>12 HPS</td><td>8 HPS</td><td>8 HPS</td><td>16 HPS</td><td>6 HPS</td><td>6 HPS</td></tr><tr><td>9 mo</td><td>NA</td><td>NA</td><td>8 HPS</td><td>6 HPS</td><td>NA</td><td>NA</td><td>NA</td><td>NA</td></tr><tr><td>12 mo</td><td>8 HPS</td><td>8 HPS</td><td>4 HPS</td><td>4 HPS</td><td>6 HPS</td><td>12 HPS</td><td>3.5 HPS</td><td>3.5 HPS</td></tr><tr><td>18 mo</td><td>4 HPS</td><td>4 HPS</td><td colspan="2">At full performance</td><td>4 HPS</td><td>9 HPS</td><td colspan="2">At full performance</td></tr><tr><td>24 mo</td><td>3 HPS</td><td>3 HPS</td><td></td><td></td><td>NA</td><td>6 HPS</td><td></td><td></td></tr><tr><td>36 mo</td><td>2 HPS</td><td>2 HPS</td><td></td><td></td><td colspan="2">At full performance</td><td></td><td></td></tr><tr><td></td><td colspan="2">At full performance</td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>						EIC1600	EIC1700	EIC2100	EIC2600	EIC2800	EIC3600 Business Methods	EIC3600 Mechanical	EIC3700	6 mo	12 HPS	12 HPS	12 HPS	8 HPS	8 HPS	16 HPS	6 HPS	6 HPS	9 mo	NA	NA	8 HPS	6 HPS	NA	NA	NA	NA	12 mo	8 HPS	8 HPS	4 HPS	4 HPS	6 HPS	12 HPS	3.5 HPS	3.5 HPS	18 mo	4 HPS	4 HPS	At full performance		4 HPS	9 HPS	At full performance		24 mo	3 HPS	3 HPS			NA	6 HPS			36 mo	2 HPS	2 HPS			At full performance					At full performance							
	EIC1600	EIC1700	EIC2100	EIC2600	EIC2800	EIC3600 Business Methods	EIC3600 Mechanical	EIC3700																																																																				
6 mo	12 HPS	12 HPS	12 HPS	8 HPS	8 HPS	16 HPS	6 HPS	6 HPS																																																																				
9 mo	NA	NA	8 HPS	6 HPS	NA	NA	NA	NA																																																																				
12 mo	8 HPS	8 HPS	4 HPS	4 HPS	6 HPS	12 HPS	3.5 HPS	3.5 HPS																																																																				
18 mo	4 HPS	4 HPS	At full performance		4 HPS	9 HPS	At full performance																																																																					
24 mo	3 HPS	3 HPS			NA	6 HPS																																																																						
36 mo	2 HPS	2 HPS			At full performance																																																																							
	At full performance																																																																											
C.4.1.9 Search Support	Efficiency	Standard ABSS searches: <table><tr><td>6 mo</td><td>12 searches/day</td></tr><tr><td>12 mo</td><td>24 searches/day</td></tr></table>	6 mo	12 searches/day	12 mo	24 searches/day	95% of all searches are completed within the specified time period by searchers at the various experience levels.	Data pulled from STIC search tracking system.																																																																				
6 mo	12 searches/day																																																																											
12 mo	24 searches/day																																																																											
C.4.1.9 Search Support	Efficiency	Fast and Focused Searches – only expert searchers handle this category. Avg 2 hrs never more 3 hrs.	Average of 2 hours per search	Data pulled from STIC search tracking system.																																																																								

Performance Requirements Matrix – IRIS – Task Order 1 – Electronic Information Center Support				
PWS Task	Metric Type	Performance Standard	Performance Indicator	Surveillance Method
C.4.1.9 Search Support	Efficiency	All other search types: 1 business day turnaround	95% of all searches are completed on time	Data pulled from STIC search tracking system.
C.4.1.9 Search Support	Quality	Quality standards maintained for searchers by experience level. See QASP Attachment A	100% of new searchers retained must be at the “shows improvement” level. For experienced searchers 95% of all reviewed searches score adequate or higher.	New searchers - reviews conducted by a Government Monitor at the intervals specified in the standards. Experienced searchers - random selection of searches reviewed bi-weekly by Government Monitor.
C.4.1.5 Information Request Processing	Efficiency	Paper documents – delivered twice daily.	95% of all requests are delivered within the specified time period.	Government Monitor checks delivery times and verifies customer complaints.
C.4.1.5 Information Request Processing	Efficiency	Electronic documents - reviewed within two hours of original request.	95% of all requests are reviewed within the specified time period.	Government Monitor conducts a random check of electronic mailboxes to verify documents were reviewed and handled.
Section F	See “Performance Standards for Guidelines/Manuals, Reports and Other Deliverables”. Those quality and efficiency performance standards apply to all section F deliverables for this task order.			

Performance Requirements Matrix – IRIS – Task Order 2 – Automation Training and Related Training Support								
PWS Task	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method				
C.4.2 Instructional Support	Efficiency	Certification: New instructors are certified after 4 full months on board as fully qualified to provide training on core automation tools (Currently EAST, OACS, EDAN & Teleworking tools).	90% of all new ITRP hires are certified on time.	COTR or Government Monitor (GM) checks monthly report for verification that new hires were certified on time.				
C.4.2 Instructional Support	Efficiency	Instructors show up and ready to start class on time for all scheduled classes, demonstrations etc.	98% of the time instructor on time. 100% of time instructor shows up.	Ad hoc feedback and confirmation from contractor reports.				
C.4.2 Instructional Support	Efficiency	Search Strategy Expert (SSE)- average training interactions per day for each SSE varies by experience of SSE. <table border="1"><tr><td>6 mo</td><td>4 interactions/day</td></tr><tr><td>12 mo</td><td>6 interactions /day</td></tr></table>	6 mo	4 interactions/day	12 mo	6 interactions /day	Each SSE handles the designated number of training interactions for their experience level 95% of the time.	Data pulled from STIC search tracking system.
6 mo	4 interactions/day							
12 mo	6 interactions /day							
C.4.2 Instructional Support	Quality	Staff Training Quality – the percent of feedback on staff training which is overall positive in nature.	95% of the feedback is positive in nature.	Random sample of government student’s course evaluation feedback forms and informal feed back (e.g. e-mails) received.				
C.4.2 Instructional Support	Quality	Instructor Skill Assessment – appropriate conduct, presentation skills, subject knowledge, ability to field questions and provide one-on-one assistance etc.	95% of assessments are positive in nature.	GM conducts random visits to classrooms, presentations, demos, etc. and from informal feed back (e.g. e-mails) received.				

Performance Requirements Matrix – IRIS – Task Order 2 – Automation Training and Related Training Support				
PWS Task	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method
C.4.2 Instructional Support	Quality	Instructional material assessment – materials created or edited by contract staff are accurate; required formats are followed.	98% of materials reviewed meet these requirements	Ad hoc feedback from government subject experts and reviews of materials by the GM.
Section F	See “Performance Standards for Guidelines/ Manuals, Reports and Other Deliverables”. Those quality and efficiency performance standards apply to all section F deliverables for this task order except for the following efficiency metrics.			
F.1.7 Other Deliverables	Efficiency	Daily schedule of staff assignments provided by close of business the day prior to the assignment day.	98% of the time the schedule is received on time.	COTR notes when daily schedule is not received on time.
*Note: Reports are not counted as late when, on a case-by-case basis, the COTR approves later report submission.				

Performance Requirements Matrix – IRIS – Task Order 3 – Trademark Law Library Support																						
PWS Task	Metric Type	Performance Standard	Performance Indicator	Surveillance Method																		
C.4.1.5 Information Request Processing	Efficiency	Searches are completed within the following times:	99% of all searches are completed within the indicated times.	Random selection																		
		<table><tr><th>Search Type</th><th>Metric</th></tr><tr><td>Surname</td><td>ten minutes</td></tr><tr><td>Foreign language</td><td>thirty minutes</td></tr><tr><td>Geographic</td><td>fifteen minutes</td></tr><tr><td>Plant/varietal searches</td><td>thirty minutes</td></tr><tr><td>Commercial catalog</td><td>two hours</td></tr><tr><td>Lexis-Nexis</td><td>1 business day</td></tr><tr><td>Dialog</td><td>2 business days</td></tr><tr><td>Internet searches for product definitions and descriptions</td><td>2 business days</td></tr></table>			Search Type	Metric	Surname	ten minutes	Foreign language	thirty minutes	Geographic	fifteen minutes	Plant/varietal searches	thirty minutes	Commercial catalog	two hours	Lexis-Nexis	1 business day	Dialog	2 business days	Internet searches for product definitions and descriptions	2 business days
		Search Type			Metric																	
		Surname			ten minutes																	
		Foreign language			thirty minutes																	
		Geographic			fifteen minutes																	
		Plant/varietal searches			thirty minutes																	
		Commercial catalog			two hours																	
		Lexis-Nexis			1 business day																	
		Dialog			2 business days																	
Internet searches for product definitions and descriptions	2 business days																					
C.4.1.9 Search Support	Quality	Quality standards maintained for searchers by experience level. See QASP Attachment A	100% of new searchers retained must be at the “shows improvement” level. For experienced searchers 95% of all	New searchers - reviews conducted by a Government Monitor at the intervals specified in the standards. Experienced searchers - random selection of searches reviewed bi-weekly by																		

Performance Requirements Matrix – IRIS – Task Order 3 – Trademark Law Library Support				
PWS Task	Metric Type	Performance Standard	Performance Indicator	Surveillance Method
			reviewed searches score adequate or higher.	Government Monitor.
Section F	See “Performance Standards for Guidelines/ Manuals, Reports and Other Deliverables”. Those quality and efficiency performance standards apply to all section F deliverables for this task order.			

Performance Requirements Matrix – IRIS – Task Order 4 – Centralized Services Support				
PWS Task	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method
C.4.1.6 Sequence Processing	Efficiency	All contractor handled Sequence Listing (RSL) reports taken for annotation are completed within 2 business days.	100% of contractor handled RSL reports taken for annotation are finished on time.	Government Monitor (GM) reviews weekly SCORE report. GM identifies RSL reports older than 2 days that have not been completed. The GM determines if incomplete reports were those handled by the contractor.
C.4.1.7 Processing Translation Requests	Efficiency	All requests received to be processed in 24 hours of receipt.	98% of requests processed in time required	Government Monitor checks on a daily basis in the morning that all requests, received prior to 4:30 pm the day before have been processed.
C.4.1.3 Information Systems, Technologies, Processes and Methodologies	Efficiency	Administers the STAR database system on a daily basis and updates the system as necessary.	STAR is kept running continuously with any problems addressed immediately.	Users are able to access the system all day, input and update data, run reports, and produce accurate results. Government monitor verifies problems were immediately addressed.

Performance Requirements Matrix – IRIS – Task Order 4 – Centralized Services Support				
PWS Task	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method
C.4.1.5 Information Request Processing	Efficiency	Delivers documents to customer's mailboxes or to other designated locations in the USPTO on a daily basis.	Average of 98% of all requests are delivered on time and to the correct recipients.	1) No more than two complaints per week from customers that the document was not provided, or that the document provided was not the correct one. 2) By random sample review, STAR system reflects date and time deliveries are complete.
C.4.1.5 Information Request Processing	Efficiency	ILL Library Technician continuously monitors the STIC-ILL email inboxes during regular business hours for incoming requests and forwards them when necessary.	95% of all requests submitted via email are processed upon receipt, 98% of all requests submitted will be processed.	Random sampling. STAR generated monthly report to indicate all requests filled in-house are completed within one day.
C.4.1.5 Information Request Processing	Efficiency	ILL Librarian processes all incoming requests upon receipt; outsourced requests are filled within 2-5 working days, and those completed using in-house materials are filled in one day. Less than two requests per hundred cannot be filled.	Average of 25 records created per hour; 90% of all requests filled; 95% of all requests filled within established timeframe.	1) ASRC monthly statistical report indicates the number of records created per hour. 2) STIC ILL monthly report indicates how many requests were filled, how many were submitted, and how long it took to fill them.
C.4.1.5 Information Request Processing	Quality	ILL TIS performs quality check of all electronic files created for all TC's requests filled by electronic means, to catch and correct errors.	At least 98% of all files forwarded to customer are correct.	Less than 2 errors per one hundred reported by customers upon receipt of the files.
Section F	See “Performance Standards for Guidelines/ Manuals, Reports and Other Deliverables”. Those quality and efficiency performance standards apply to all section F deliverables for this task order except for the following two efficiency metrics.			

Performance Requirements Matrix – IRIS – Task Order 4 – Centralized Services Support				
PWS Task	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method
F.1.6 Statistical Reports – Information Center Services and Functions	Efficiency	STAR database administrator provides monthly reports within the first five work days of the following month.	100% of all reports are submitted on time and contain accurate data.	Government Monitor records the date each report is received and reviews for completion and accuracy.
F.1.7 Other Deliverables	Efficiency	STAR database administrator provides customized or special reports as directed within specified timeframe	95% of all reports are submitted on time and contain accurate data.	Government Monitor records the date each report is received and reviews for completion and accuracy.
*Note: Reports are not counted as late when, on a case-by-case basis, the COTR approves later report submission.				

Performance Requirements Matrix – IRIS – Task Order 5 – Information Access and Management Support				
PWS Task	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method
C.4.1.3 Information Systems, Technologies, Processes and Methodologies	Efficiency	TRACKSTAR Database: Maintains and develops enhancements to the TRACKSTAR database system and updates the system as necessary. System enhancements are provided as needed or as requested by the GM.	1) TRACKSTAR is kept running continuously with edits to accounting data updated as required. 2) System enhancements are provided by the due date 95% of the time.	Users are able to access the system all day, input and update data, run reports, and produce accurate results. Government Monitor (GM) maintains records of reported down time and access problems and verifies system enhancements are provided on time.
C.4.1.1 Literature Resources	Efficiency	Provides uninterrupted access and correct information for non-patent literature in print and electronic formats through the online catalog, and the STIC NPL page.	98% accuracy rate for records in the online catalog and NPL pages. Links are current/active, and coverage is accurate.	1) GM checks that coverage and linking updates are verified and input into systems within 48 hours of receipt. 2) GM does random sampling of data provided from publishers/vendors
C.4.1.5 Information Request Processing	Efficiency	Acquisition Librarian processes all incoming requests not later than Thursday of each week, with standards being ordered daily. Follow up with vendors for materials not received completed by the 15 th of each month and notification to requestor of delayed receipts done as part of process.	100% of all requests filled within established timeframe.	1) GM verifies that TRACKSTAR indicates titles ordered and date and time of order. 2) Auto alert feature of TRACKSTAR provides notification to vendors of items not received.

Performance Requirements Matrix – IRIS – Task Order 5 – Information Access and Management Support				
PWS Task	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method
C.4.1.4 Information Resource Processing	Quality	Catalogers input records, add relevant local subject headings as requested, update authorities perform quality check of all work done in the online catalog and update holdings in online catalog as required	At least 98% of all records input are correct.	1) GM does a sampling of records input and edited in the catalog. 2) GM verifies production statistics provided by contractors indicating edits to records, authority work, etc.
C.4.1.4 Information Resource Processing	Efficiency	Contractors inventory collections based on established schedules and update information in the online catalog. Production statistics provided by due date.	100% of scheduled inventory done on time with records corrected. Statistics provided on time 100% of the time.	1) GM reviews reports submitted during process. 2) GM records date of receipt.
Section F	See “Performance Standards for Guidelines/ Manuals, Reports and Other Deliverables”. Those quality and efficiency performance standards apply to all section F deliverables for this task order except for the following two efficiency metrics.			
F.1.6 Statistical Reports, Information Center Services and Functions	Efficiency	TRACKSTAR database administrator provides monthly reports within the first 5 work days.	90% of all reports are submitted on time and contain accurate data.	GM records the date each report is received and reviews for completion and accuracy.
F.1.7 Other Deliverables	Efficiency	TRACKSTAR database administrator, Web librarian and others provide customized (special) reports as directed within specified timeframe.	100% of all reports are submitted on time and contain accurate data.	GM records the date each report is received and reviews for completion and accuracy.
*Note: Reports are not counted as late when, on a case-by-case basis, the COTR approves later report submission.				

Performance Requirements Matrix – IRIS – Task Order 6 – Contract Management, Administration and Consulting				
PWS Task/Topic	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method
Contract Management	Efficiency	Management Issue Turnaround – average time from receipt of an urgent government issue until a preliminary proposed solution has been delivered.	1 business day	Sampled on an ad hoc basis by COTR.
Contract Management	Efficiency	Invoice Submittal Duration – complete invoice package submitted within 25 calendar days from end of billable pay period	90% of invoices packages received within 25 calendar days	COTR records date of receipt of invoices.
Contract Management	Quality	Staff conduct and staff training - new contract staff are well trained by contractor on appropriate conduct and on handling job functions.	90% of feedback from Government Monitors is positive in nature	COTR conducts an annual poll of Government Monitors
Contract Management	Quality	Employee Turnover –overall contract staff turnover is less than 10% in a period of performance. (This does not include contract staff who may be hired into government positions at the USPTO).	Less than 10% turnover in staff during period of performance.	Staff turnover and turnover rate reported in contractor monthly reports.
Contract Management	Quality	Complaints - All complaints raised to the COTR level (major complaints) are addressed and resolved to the satisfaction of the COTR.	100% of major complaints are resolved satisfactorily	COTR records complaints and whether or not the complaint was resolved satisfactorily.
Section F	See “Performance Standards for Guidelines/ Manuals, Reports and Other Deliverables”. Those quality and efficiency performance standards apply to all section F deliverables for this task order except for the following two efficiency metrics.			

Performance Requirements Matrix – IRIS – Task Order 6 – Contract Management, Administration and Consulting				
PWS Task/Topic	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method
F.1.1 High-Level Progress Report	Efficiency	High-Level Progress Report submitted by the 15 th calendar day of the following month and that all components of the report are present.	90% of all reports are complete and submitted on time.	COTR records the date of receipt and that the report is complete. Incomplete reports received are not considered as completed on time.
F.1.2 Funding & LOE Report	Efficiency	Report submitted with each invoice package.	90% of the reports are received on time.	COTR verifies that the report was received with the invoice(s). COTR records the date of receipt.
*Note: Reports are not counted as late when, on a case-by-case basis, the COTR approves later report submission.				

Performance Requirements Matrix – IRIS – Task Order 7 - Supplies and Materials				
PWS Task	Metric Type	Performance Standard*	Performance Indicator	Surveillance Method
Section F	See “Performance Standards for Guidelines/ Manuals, Reports and Other Deliverables”. Those quality and efficiency performance standards apply to all section F deliverables for this task order.			